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Practitioner's Docket No. 313332000100 TECH CENTER 1600-2900 **PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**☒ In re application of: Linda A. Sherman et al.

Application No.: 08 / 812, 393

Group No.: 1633

Filed: March 5, 1997

Examiner: M. Wilson

For: RECOMBINANT CONSTRUCTS ENCODING T CELL RECEPTORS SPECIFIC
FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS☐ Patent No*:

Issued:

*NOTE: Insert name(s) of inventor(s) and title also for patent.

Assistant Commissioner for Patents
Washington, D.C. 20231**POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE INTEREST
(REVOCATION OF PRIOR POWERS):**

As assignee of record of the entire interest of the above identified.

- ☒ application,
☐ patent,

REVOCATION OF PRIOR POWERS OF ATTORNEY

all powers of attorney previously given are hereby revoked and

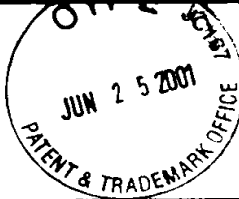
NEW POWER OF ATTORNEYthe following attorney(s) and/or agent(s) are hereby appointed to prosecute and transact
all business in the Patent and Trademark Office connected therewith.

(list name and registration number)

David G. Conlin, Reg. No. 27,026
George W. Neuner, Reg. No. 26,964
Linda M. Buckley, Reg. No. 31,003Peter F. Corless, Reg. No. 33,860
Robert L. Buchanan, Reg. No. 40,927

(check the following item, if applicable)

- ☒ Attached, as part of this power of attorney, is the authorization of the above-named attorney(s) to accept and follow instructions from my representative(s).

**SEND CORRESPONDENCE TO:**

Robert L. Buchanan
EDWARDS & ANGELL, LLP
P. O. Box 9169
Boston, MA 02209

DIRECT TELEPHONE CALLS TO:

(617) 439-4444
Fax: (617) 439-4170

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Customer No.: 21874 TECH CENTER 1600 2900

The Scripps Research Institute
(type or print identity of assignee of entire interest)

10550 N. Torrey Pines Road
Address
LaJolla, CA 92037

- ☐ Recorded in PTO on _____
Reel _____
Frame _____
☐ Recorded herewith

ASSIGNEE STATEMENT

Attached to this power is a "STATEMENT UNDER 37 C.F.R. § 3.73(b)."

Date June 4, 2001

Thomas Fitting
Signature

Thomas Fitting
(type or print name of person authorized to
sign on behalf of assignee)

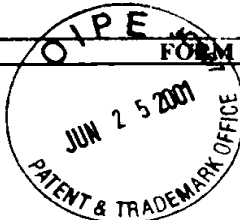
Chief Patent Counsel
Title

NOTE: The assignee of the entire interest may revoke previous powers and be represented by an attorney of his or her selection. 37 C.F.R. § 1.36.

(check the following item, if it forms a part of this power of attorney)

- ☐ Added page—Authorization of attorney(s) to accept and follow instructions from representative.

(Power of Attorney by Assignee of Entire Interest [12-2]—page 2 of 2)



**ADDED PAGE TO POWER OF ATTORNEY BY ASSIGNEE OF ENTIRE
INTEREST FOR AUTHORIZATION OF ATTORNEY(S) TO ACCEPT AND
FOLLOW INSTRUCTIONS FROM REPRESENTATIVE**

The undersigned to this power of attorney hereby authorize(s) the U.S. attorney(s) named herein to accept and follow instructions from

Dr. Dean Taylor

Name(s) of authorized representative(s)

Sunol Molecular Corporation

Address

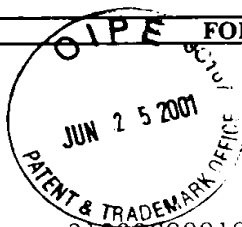
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TECH CENTER 1600/2900

as to any actions to be taken in the Patent and Trademark Office regarding this application without direct communication between the U.S. attorney(s) and the undersigned. In the event of a change in the person(s) from whom instructions may be taken, the U.S. attorney(s) will so be notified by the undersigned.

Practitioner's Docket No. 313332000100**PATENT****IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of: Linda A. Sherman et al.

Application No.: 08 / 812,392

Group No.: 1633

Filed: March 5, 1997

Examiner: M. Wilson

For: RECOMBINANT CONSTRUCTS ENCODING T CELL RECEPTORS SPECIFIC
FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS

Issue Date: _____

Patent*: _____

Issue Date: _____

Reexamination No.: _____

Issue Date: _____

Reissue: _____

*NOTE: Insert name(s) of inventor(s) and title for patent.

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JUN 27 2001

Assistant Commissioner for Patents
Washington, D.C. 20231

500 2900

**STATEMENT UNDER 37 C.F.R. § 3.73(b)—
ESTABLISHING RIGHT OF ASSIGNEE TO TAKE ACTION****CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10***
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional.)

I hereby certify that, on the date shown below, this correspondence is being:

MAILING☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 C.F.R. § 1.8(a)

37 C.F.R. § 1.10*

☒ with sufficient postage as first class mail.☐ as "Express Mail Post Office to Addressee"

Mailing Label No. _____ (mandatory)

TRANSMISSION☐ transmitted by facsimile to the Patent and Trademark Office.

Signature

Date: June 21, 2001

Patricia A. Barnes

(type or print name of person certifying)

***WARNING:** Each paper or fee filed by Express Mail **must** have the number of the "Express Mail" mailing label placed thereon prior to mailing. 37 C.F.R. § 1.10(b)."Since the filing of correspondence under § 1.10 without the Express Mail mailing label thereon is an oversight that can be avoided by the exercise of reasonable care, requests for waiver of this requirement will **not** be granted on petition." Notice of Oct. 24, 1996, 60 Fed. Reg. 56,439, at 56,442.

NOTE: 37 CFR 3.73(b) states: "When an assignee seeks to take action in a matter before the Office with respect to a patent application, . . . , patent, registration, or reexamination proceeding, the assignee must establish its ownership of the property to the satisfaction of the Commissioner. Ownership is established by submitting to the Office, in the Office file related to the matter in which action is sought to be taken, documentary evidence of a chain of title from the original owner to the assignee (e.g., copy of an executed assignment submitted for recording) or by specifying (e.g., reel and frame number) where such evidence is recorded in the Office. The submission establishing ownership must be signed by a party authorized to act on behalf of the assignee. Documents submitted to establish ownership may be required to be recorded as a condition to permitting the assignee to take action in a matter pending before the Office."

NOTE: "Section 3.73(b) is amended to remove the sentence requiring an assignee to specifically state that the evidentiary documents have been reviewed and to certify that title is in the assignee seeking to take action. The sentence is deemed to be unnecessary in view of the amendment to §§ 1.4(d) and 10.18." Notice of Oct. 10, 1997, 62 Fed. Reg. 53,131, at 53,174.

1. The assignee(s) of the entire right, title and interest hereby seek(s) to take action in the PTO in this matter.

IDENTIFICATION OF ASSIGNEE

2. The Scripps Research Institute
Name of assignee
Non-profit Research Institute
Type of assignee, e.g., corporation, partnership, university, government agency, etc.

PERSON AUTHORIZED TO SIGN

3. Thomas Fitting
(type name of person authorized to sign on behalf of assignee)
Chief Patent Counsel
Title of person authorized to sign

NOTE: The Notice of April 30, 1993 (1150 O.G. 62-64) points out:

"The statement under 37 CFR 3.73(b) may be signed on behalf of the assignee in the following two manners if the assignee is an organization (e.g., corporation, partnership, university, government agency, etc.).

"(1) The statement may be signed by a person in the organization having apparent authority to sign on behalf of the organization. An officer (president, vice-president, secretary, or treasurer) is presumed to have authority to sign on behalf of the organization. The signature of the chairman of the board of directors is acceptable, but not the signature of an individual director. A person having a title (manager, director, administrator, general counsel) that does not clearly set forth that person as an officer of the assignee is not presumed to be an officer of the assignee or to have authority to sign the statement on behalf of the assignee. A power of attorney from the inventors in an organization to a practitioner to prosecute a patent application does not make the practitioner an official of an assignee or empower the practitioner to sign the statement on behalf of the assignee.

"(2) The statement may be signed by any person, if the statement includes an averment that the person is empowered to sign the statement on behalf of the assignee and, if not signed by a registered practitioner, the statement must be in oath or declaration form. Where a statement does not include such an averment, and the person signing does not hold a position in the organization that would give rise to a presumption that the person is empowered to sign the statement on behalf of the assignee, evidence of the person's authority to sign will be required."

[Author's Note: The requirement for an oath or declaration for this statement by a person not a registered practitioner was rescinded by the rules effective December 1, 1997.]

(complete the following, if applicable)

- ☒ I, the person signing below, state that I am empowered to sign this statement on behalf of the assignee.

(Statement under 37 C.F.R. § 3.73(b) — Establishing Right of Assignee to Take Action [16-16]—page 2 of 4)

BASIS OF ASSIGNEE'S INTEREST

Ownership by the assignee is established as follows:

A.

1. ☒ An assignment from the inventor(s) of the matter identified above, which was recorded in the PTO at
Reel 8864, Frame 0849.
2. ☐ An assignment (document) separately being submitted for recordal herewith.

AND/OR

- B.** ☐ A chain of title from the inventor(s) to the current assignee as shown below:

1. From: _____
Name of inventor(s)

To: _____

Recorded in PTO: Reel _____, Frame _____

2. From: _____
Name of inventor(s) or assignee

To: _____

Recorded in PTO: Reel _____, Frame _____

3. From: _____
Name of inventor(s) or assignee

To: _____

Recorded in PTO: Reel _____, Frame _____

(check item below, and add details, if applicable)

- ☐ Additional documents in the chain of title are listed in the attached Supplemental Sheet.

COPIES OF DOCUMENTS IN CHAIN OF TITLE

(complete this item, if copies are being sent)

- ☒ Copies of the assignment(s) or other document(s) in the chain of title are attached as follows:

<input checked="" type="checkbox"/> A	<input checked="" type="checkbox"/> 1	<input type="checkbox"/> 2	
<input type="checkbox"/> B	<input type="checkbox"/> 1	<input type="checkbox"/> 2	<input type="checkbox"/> 3



Thomas Fitting

(Signature of authorized person)

Thomas Fitting

(type or print name of authorized person)

Chief Patent Counsel

Title of authorized person

Robert L. Buchanan

SIGNATURE OF PRACTITIONER

Robert L. Buchanan

(type or print name of practitioner)

EDWARDS & ANGELL, LLP

P.O. Address

P. O. Box 9169, Boston, MA 02209

Reg. No.: 40,927

Tel. No.: (617) 439-4444

Fax: (617) 439-4170

Customer No.: 21874

(Statement under 37 C.F.R. § 3.73(b) — Establishing Right of Assignee to Take Action [16-18]—page 4 of 4)

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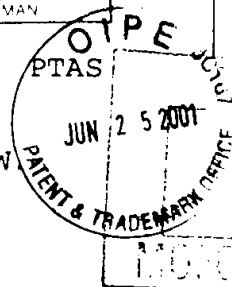
LEAHY & ANGELL LLP
LURE ROSENSTEIN
ROBERT RUSHMAN



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FEBRUARY 12, 1998

MORRISON & FOERSTER LLP
KATE H. MURASHIGE
2000 PENNSYLVANIA AVENUE, N.W.
WASHINGTON, D.C. 20006-1888



100600043A

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UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, NORTH TOWER BUILDING, SUITE 10C35, WASHINGTON, D.C. 20231.

RECORDATION DATE: 09/05/1997

REEL/FRAME: 8864/0849

NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:

SHERMAN, LINDA A.

DOC DATE: 04/18/1997

ASSIGNOR:

LUSTGARTEN, JOSEPH

DOC DATE: 04/18/1997

ASSIGNEE:

SCRIPPS RESEARCH INSTITUTE, THE
10550 NORTH TORREY PINES
LA JOLLA, CALIFORNIA 92037

SERIAL NUMBER: 08812393

FILING DATE: 03/05/1997

PATENT NUMBER:

ISSUE DATE:

MAYA BENNETT, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Application No. 08/812,393

Filed March 5, 1997

01-08-1998



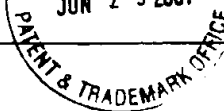
RECOR

100600043

PATENTS ONLY

DEPARTMENT OF COMMERCE
Patent and Trademark Office
Docket No. 313332000100

JUN 25 2001



To the Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

08/812393
10/15/97

1. Name of conveying party(ies):
Linda A. Sherman, Joseph Lustgarten

- ☒ Individual(s) ☐ Association
☐ General Partnership ☐ Limited Partnership
☐ Corporation-State ☐ Other

Additional name(s) of conveying party(ies) attached? ☐ Yes ☐ No

3. Nature of conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other:

Execution Date: April 18, 1997

2. Name and address of receiving party(ies):

Name: The Scripps Research Institute
Internal Address:
Street Address: 10550 North Torrey Pines
City: La Jolla, State: ZIP: 92037

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is:

A. Patent Application No.(s)

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Kate H. Murashige
Morrison & Foerster LLP
2000 Pennsylvania Avenue, N.W.
Washington, D.C. 20006-1888

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. § 3.41): \$40.00

- ☒ Enclosed
☐ Authorized to be charged to deposit account, referencing
Attorney Docket 313332000100

8. Deposit account number: 03-1952

The Commissioner is hereby authorized to charge any fees under 37 C.F.R. § 1.21 that may be required by this paper, or to credit any overpayment to Deposit Account No. 03-1952

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Name: Thomas G. Wiseman
Registration No: 35,046

Signature

Date

Total number of pages comprising cover sheet, attachments and document: 1

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks
Box Assignments
Washington, D.C. 20231

ASSIGNMENT JOINT

THIS ASSIGNMENT, by Linda A. Sherman and Joseph Lustgarten (hereinafter referred to as the assignors), residing at LaJolla, California, witnesseth:

WHEREAS, said assignors have invented certain new and useful improvements in RECOMBINANT CONSTRUCTS ENCODING T CELL RECEPTORS SPECIFIC FOR HUMAN HLA-RESTRICTED TUMOR ANTIGENS, set forth in an application for Letters Patent of the United States, having an oath or declaration executed on even date herewith; bearing Serial No. _____ and filed on 5 March 1997; and

WHEREAS, The Scripps Research Institute, a corporation duly organized under and pursuant to the laws of California and having its principal place of business at 10550 North Torrey Pines Road, La Jolla, California 92037 (hereinafter referred to as the assignee) is desirous of acquiring the entire right, title and interest in and to said inventions and said application for Letters Patent of the United States, and in and to any Letters Patent or Patents, United States or foreign, to be obtained therefor and thereon:

NOW, THEREFORE, in consideration of One Dollar (\$1.00) and other good and sufficient considerations, the receipt of which is hereby acknowledged, said assignors have sold, assigned, transferred and set over, and by these presents does sell, assign, transfer and set over, unto said assignee, its successors, legal representatives and assigns, [as co-owners in undivided one-half interest respectively] the entire right, title and interest in and to the above-mentioned inventions, application for Letters Patent, and any and all Letters Patent or Patents in the United States of America and all foreign countries which may be granted therefor and thereon, and in and to any and all divisions, continuations and continuations-in-part of said application, or reissues or extensions of said Letters Patent or Patents, and all rights under the International Convention for the Protection of Industrial Property, the same to be held and enjoyed by said assignee for its own use and the use of its successors, legal representatives and assigns, to the full end of the term or terms for which Letters Patent or Patents may be granted, as fully and entirely as the same would have been held and enjoyed by the assignors, had this sale and assignment not been made.


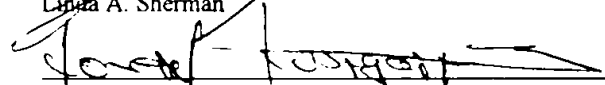
AND for the same consideration, said assignors hereby covenant and agree to and with said assignee its successors, legal representatives and assigns, that, at the time of execution and delivery of these presents, said assignors are the sole and lawful owners of the entire right, title and interest in and to said inventions and the application for Letters Patent above-mentioned, and that the same are unencumbered and that said assignors have good and full right and lawful authority to sell and convey the same in the manner herein set forth.

AND for the same consideration, said assignors hereby covenant and agree to and with said assignee, its successors, legal representatives and assigns, that said assignors will, whenever counsel of said assignee, or the counsel of its successors, legal representatives and assigns, shall advise that any proceeding in connection with said inventions, or said application for Letters Patent, or any proceeding in connection with Letters Patent for said inventions in any country, including interference proceedings, is lawful and desirable, or that any division, continuation or continuation-in-part of any application for Letters Patent or any reissue or extension of any Letters Patent, to be obtained thereon, is lawful and desirable, sign all papers and documents, take all lawful oaths, and do all acts necessary or required to be done for the procurement, maintenance, enforcement and defense of Letters Patent for said inventions, without charge to said assignee, its successors, legal representatives and assigns, but at the cost and expense of said assignee, its successors, legal representatives and assigns.

AND said assignors hereby request the Commissioner of Patents to issue said Letters Patent of the United States to said assignee as the assignee of said inventions and the Letters Patent to be issued thereon for the sole use of said assignee, its successors, legal representatives and assigns.

4/18/97
Date

4/18/97
Date


Linda A. Sherman

Joseph Lustgarten

